

**Deliverable 86.1.2 Feedback / Change Log Tracking**

Ref #	Type	Req #	Description of Suggested Changes/Comments	Author	Date Submitted	Status	Comments/Explanation	Justification for Actions Taken
EX 1		1.3.1.3.4	I see this came from the session I missed, but why would PPA actions be in this system. Aren't they all already in PEPS?	Byron Scott	3/18/2002	Not Changed	The purpose of this requirement is to allow for the submission of audit/financial statements that are required as a part of PPA actions.	
1	Functional	1.2.2	There is no uniform licensure of auditors nationwide so what will licensure be based upon? Will Require Yellow Book certification.	Chris Miller	3/26/2002	Not Changed	The auditor's licensure information will be based on the school's location and where the auditor is licensed to practice.	
2	Functional	1.3.3.3.7	Request an Extension? What type of extension? Who will approve?	Chris Miller	3/26/2002	Not Changed	Case Teams will approve extension	
3	Functional	1.3.1.3.3.8	Waiver: What type (I.e. threshold <\$300k, etc)?	Chris Miller	3/26/2002	Not Changed	Yes. This refers to compliance audits	
4	Functional	1.5.1.1.4.7	Why is the ACD disguised as having view access for LOC? Is this irrevocable LOCs?	Chris Miller	3/26/2002	Pending feedback	Further clarification is needed.	No changes made until further direction is received.
5	Functional	2.2.1.3.119.1	How many separate locations and/or additional locations will be accepted? Will the findings be tracked by each location or the main school only?	Chris Miller	3/26/2002	Not Changed	The number of locations currently accepts 99. Will be covered in design	
6	Functional	2.2.1.12	Will findings be narrative here or based upon some predetermined set of codes?	Chris Miller	3/26/2002	Not Changed	Based on Codes. Will be covered in design.	
7	Functional	2.2.1.13	This field must be mandatory when student specific findings are being reported.	Chris Miller	3/26/2002	Not Changed	Sherry Researching	
8	Functional	2.2.1.16.10	Why are we using this as criteria for student eligibility? Should be deleted	Chris Miller	3/26/2002	Not Changed	Based on Audit Guide.	
9	Functional	2.2.1.16.17	Delete this finding . . . no longer relevant. Add "Conflicting Information: Ineligible Student"	Chris Miller	3/26/2002	Not Changed	Will forward to PIP for review.	
10	Functional	2.2.1.16.17-21	Will these Questioned Costs be by student or finding code/group? Prefer specifically student, we would like to tie the questioned costs back to a specific student.	Chris Miller	3/26/2002	Not Changed		
11	Functional	2.2.1.17.19	What about credit balances for non-loan programs?	Chris Miller	3/26/2002	Not Changed	Referred to Sherry Quade for further review.	
12	Functional	2.2.1.18.9-17	A category should be included to capture Refunds already made and a category for remaining refunds to be made.	Chris Miller	3/26/2002	Not Changed	Referred to Sherry Quade for further review.	
13	Functional	2.3.2.5.6.3	Why is the \$300k threshold included here? I'm not sure how it's related to opinion type.	Chris Miller	3/26/2002	Changed	This is not an opinion type. (DELETE)	Deleted requirement.
14	Functional	2.3.2.3	Why is there no category to capture the specific "scope paragraph" when the auditor has disclaimed or opined?	Chris Miller	3/26/2002	Not Changed	Captured in 2.3.2.5.4	
15	Functional	3.1	The requirements here are confusing. Is the auditor entering data or the institution? If the institutions is entering and then the auditor is attesting, then system gets very complicated. Why not have the auditor enter all information. The underlying assumption would be that certain data is there responsibility of the institution and was thus derived from the school vs. a decision/statement/comment from the auditor. Perhaps shading of this information would ease the auditing community to show that certain data is the responsibility of the institution.	Chris Miller	3/26/2002	Not Changed	Either can enter the data. Only the auditor can submit to ED.	
16	Functional	6.2.1.6	Will the FAD be a Word document that can be easily updated, formatted, etc? If not, how will this document logically be modified for those findings were are often extremely complex and difficult to write-up?	Chris Miller	3/26/2002	Not Changed	Will be covered in design. Analyst will have capability to edit.	
17	Functional	6.2.2.2.1.2	Will the attestation of additional information be considered extra requirements by a Federal agency under OMB Circular A-133 that would then open up ED to paying for the additional costs? Or is this related to the prior year follow-up?	Chris Miller	3/26/2002	Not Changed		
18	Functional	8.1.25	There is no mention of capturing audits placed on "administrative stay" by the team. It seems like this system is capturing all other data so why not capture this as well. A report for the co-team leaders of all audits on administrative stay and how long would be helpful.	Chris Miller	3/26/2002	Changed	Need new requirement to capture this information.	Added requirement 8.1.50
19	Functional	2.3.1.2.1	I don't think we want to accept a "proforma" balance sheet - we want the audited information	Byron Scott	4/1/2002	Not Changed	The complete statement will be submitted.	
20	Functional	2.3.2.7.1	Won't we always capture auditor data? The auditor will have to tell us who he is when he enters the info, right?	Byron Scott	4/1/2002	Not Changed	Yes.	
21	Functional	6.2.2.1.12	Have we confirmed with OGC that we can post the FAD to a self-service area and not actually mail an audit?	Byron Scott	4/1/2002	Not Changed		
22	Functional	6.3.1.5	Will the LOC info be transmitted to PEPS? If not, we'll be doing double data entry.	Byron Scott	4/1/2002	Not Changed	Will have an interface with PEPS.	
23	Functional	6.3.2.1.5.2	we have to track the school's receipt of the LOC request. This may not be possible via e-mail. Has this been discussed with OGC?	Byron Scott	4/1/2002	Not Changed		
24	Functional	1.3.1.3.3.1.1	Closing Balance Sheet - Not sure what this is. Since it is under change in ownership, I think this is the same as day one balance sheet. This needs to be changed.	Tom Whiting	4/2/2002	Changed	Change to "Same Day Balance Sheet"	Changed to "Same Day Balance Sheet"

**Deliverable 86.1.2 Feedback / Change Log Tracking**

Ref #	Type	Req #	Description of Suggested Changes/Comments	Author	Date Submitted	Status	Comments/Explanation	Justification for Actions Taken
25	Functional	2.1.4.1 to 2.1.4.3	Do we really need the owners home phone, address and email address. I don't remember discussing this.	Tom Whiting	4/2/2002	Not Changed	This is requested for a close-out audit only.	
26	Functional	2.2.1.2.1.4	Close-out program? What is this. Also we have a new PIP memo on closeouts in draft that may change some procedures. We probably need to talk to policy.	Tom Whiting	4/2/2002	Not Changed		
27	Functional	2.2.1.12.4 and 2.2.1.12.5	These need to be switched if that is how we will present them to the auditor. Cause comes before effect.	Tom Whiting	4/2/2002	Not Changed	Will covered in design.	
28	Functional	2.2.1.22	The need to identify group schools should apply to all schools not just A-133 schools	Tom Whiting	4/2/2002	Changed	Need new requirement to identify schools groups for all types of institutions.	Revised existing requirement - removed reference to A-133 schools.
29	Functional	2.3.2.7.1	I think we mean prior year's auditor for a change in auditor. The system should already have the current auditor from the sign in.	Tom Whiting	4/2/2002	Not Changed		
30	Functional	3.4.2	If the public school letter will come in automatically, do we really need ED access to record the receipt.	Tom Whiting	4/2/2002	Not Changed	The letter is not being received electronically.	
31	Functional	4.1.2	This isn't my area but I thought we assigned our own ACNs to A133 reports and didn't use FAC assigned ACNs.	Tom Whiting	4/2/2002	Not Changed	Further discussion needed.	
32	Functional	5.2.3.4.1 & 6.3.1.2.6	This will require a cross-check between financials and compliance audit since late refunds are only identified in compliance audit.	Tom Whiting	4/2/2002	Not Changed	This will be covered in design.	
31	Functional	6.3.2.2	We have a draft policy memo regarding processing financial statements. We need to talk to policy to make sure system agrees with the new policy guidelines	Tom Whiting	4/2/2002	Not Changed		
32	Functional	8.1.42	States the system will report surety including the sure amounts and amended amounts. To clarify this, one must understand that surety and LOC are interchangeable words. The reason for amended LOC is due to the fact that some schools need to amend their LOC on a yearly basis until they meet the financial requirements. When a school does an amendment it extends the expiration date of the LOC for another year. In some cases the school would increase the amount or decrease it based on the total amounts of the Title IV funds received in their most recent fiscal year.	Marla Green	4/1/2002	Not Changed	This will be covered in design.	
33	Functional	8.1.15.7	States Rejected Finance Statement letter. I believe it should state Rejected Financial Statement Letter instead, if you are talking about financial statements.	Marla Green	4/1/2002	Changed	Wording needs to be changed.	Changed to "Rejected Financial Statement Letter"
34	Functional	2.2.1.18.8	Since October 200, FFEL refunds are due within 30 days (not 60 days) after withdrawal date	SF Team	3/29/2002	Pending feedback	Further research is needed.	No changes made until further direction is received.
35	Functional	6.2.2.16.2	Please list President by school/OPE #.	SF Team	3/29/2002	Not Changed	Will be covered in design.	
36	Functional	6.2.2.1.18 & 6.2.2.3.7	From these two descriptions, it appears that the system will send the closure letter to the school, however, this is not clear or listed in any of the requirements. Also, these descriptions refer to the action taken "... Days after the "closure letter was sent". When is the closure letter sent and by whom? Please clarify and include in requirements. Also, how would the system know when to initially send out the closure letter? The system should provide CMO and the Closed School Section access to timely enter a school's closure/loss of eligibility date so that the system can track when the closeout audit is due and to prompt the system in sending out reminders to the school.	SF Team	3/29/2002	Not Changed	Will be covered in design.	
37	Functional	6.3.1.7	Would system allow concurrent review of only the most recent prior year audit, or would we allowed to review all previous audits?	SF Team	3/29/2002	Not Changed	Prior year only. Will be covered in design.	
38	Functional	4.2.3.1.1	Deficiency Indicator of 1 based on coding of the findings and questioned cost of at least \$10,000	SF Team	3/29/2002	Not Changed	Need further clarification.	
39	Functional	2.3	Financial Statements - We find this entry for both "Non-Profit" and "Proprietary" entities: " The system will provide template to input proforma (sic) Balance Sheet". A Pro Forma Balance Sheet is a budgeted i.e. projected balance sheet. It does not conform to GAAP. I believe what we want are standard GAAP balance sheets (More accurately described as Statement of Financial Position"	SF Team	3/29/2002	Pending feedback	Need further discussion.	No changes made until further direction is received.
40	Functional	General	The previous draft included a "chart of accounts". Why was this not included in the most recent draft?	SF Team	3/29/2002	Not Changed	Chart of Accounts are not being used.	
41	Functional	General	I especially like the fact that this will take care of FSA audits and financials. Maybe we won't have to do as much work on them from now on.	Denver Team	3/29/2002	Not Changed		
42	Technical	Security	The eZ-Audit system shall provide a process of addressing these general security concerns towards establishing a trust infrastructure for FSA eZ-Audit system, not covered by EDNET or the VDC (See System Security Plans for both), and should integrate easily with other ED/FSA and ITA Standard Architecture Guidelines, security policies and requirements (e.g. Single Sign-On)	Barbara Johnson	3/26/2002	Changed	Add requirement if not already included in technical requirements.	Added tech requirement 9.1.

**Deliverable 86.1.2 Feedback / Change Log Tracking**

Ref #	Type	Req #	Description of Suggested Changes/Comments	Author	Date Submitted	Status	Comments/Explanation	Justification for Actions Taken
43	Technical	Security	The system shall provide for authentication for legitimacy and assurance that the use with whom we are communicating and sending/receiving private information is an authorized account holder. The authentication provided may be a combination of Login Name/Password/PIN; School ID/Other ID; digital-signature certificates; biometrics. [open issue]	Barbara Johnson	3/26/2002	Not Changed	Add requirement if not already included in technical requirements.	Suggested change is already addressed in requirement 5.1.4, which discusses the use of user IDs/passwords. There is no Digital Signature capability /infrastructure currently at FSA, and should not be included as a requirement for this system, at this time. The same applies for Biometrics. See also existing Technical requirements 5.1.x.
44	Technical	Security	The system shall provide for confidentiality for sensitive internet communications and disclosure, such as the transmission of student's private information (e.g., SSNs-open issue).	Barbara Johnson	3/26/2002	Not Changed	Add requirement if not already included in technical requirements.	Created action item in eProject to address submission of student SSN #s.
45	Technical	Security	The system shall provide for data integrity to protect communications from undetectable alteration by third parties in transmission on the Internet.	Barbara Johnson	3/26/2002	Not Changed	Add requirement if not already included in technical requirements.	This requirement is already addressed in tech requirements 5.1.3 and 7.1.2.
46	Technical	Security	The system shall provide for nonrepudiation to render it impossible for a sender to reasonably claim that he or she did not send a secured communication.	Barbara Johnson	3/26/2002	Not Changed	Add requirement if not already included in technical requirements.	This requirement is already addressed in tech requirements 5.1.2, 5.1.3, 5.1.4, 5.1.5 & 5.1.6.
47	Technical	Security	The system shall provide for encryption using Public Key Infrastructure, PKI (FSA Standard) to verify authenticity (Established part of the log-in process through the VDC security software protection of application/system and data and encryption HTTP transmissions between the eZ-Audit system and the client).	Barbara Johnson	3/26/2002	Not Changed	Add requirement if not already included in technical requirements.	Requirement not added. Further discussion is needed on impacts of requirement, as currently, there is no PKI solution at FSA. This was determined from conversations with individuals that work directly with Andy Boots, who is the FSA PKI contact.
48	Technical	Security	The system shall provide access rights based on a designate class of user internally and externally assigned in accordance with the following classes: (a) read-only; (b) read/write; (c ) read/write/submit data.	Barbara Johnson	3/26/2002	Changed	Add requirement if not already included in technical requirements.	Amended requirement 5.1.5. See also existing requirements 1.3.1.2, 1.4.1.3, 1.5.1.1
49	Technical	Security	The system shall provide capability for Postsecondary institutions and representatives to set up a security administrator who will be able to create and maintain user accounts to access the eZ-Audit Web site as required (See the COD's provision security administrator-open issue).	Barbara Johnson	3/26/2002	Not Changed	Add requirement if not already included in technical requirements.	Created action item in eProject to set up a security administrator.
50	Technical	Security	The system shall render a Risk Assessment to be conducted prior to Program Readiness Review and take corrective action for interim approval to operate or accreditation.	Barbara Johnson	3/26/2002	Changed	Add requirement if not already included in technical requirements.	Added tech requirement 9.2. Also created action item in eProject to update the Risk Assessment Plan.
51	Technical	New	Requirements do not address compliance to Section 508 standards of the Rehabilitation Act.	IV&V	3/29/2002	Changed	Add requirement if not already included in technical requirements.	Added tech requirement 8.2.6.
52	Functional	New	No data dictionary. At this point in the SLC this item is low, however, the data dictionary is vital to the development of a database. Best practices and custom suggest inclusion of a data dictionary in a requirements document	IV&V	3/29/2002	Changed		The data dictionary will be created during Preliminary Design, where we will identify field level information.
53	Functional	6.3.2.1.5.2	The requirement should read: The system will send via email requests for LOCs up to 1 million dollars.	Ti Baker	4/1/2002	Changed	We will not receive LOCs electronically.	Changed wording to include Request for LOC.
54	Functional	6.3.2.1.5.3	The requirement should read: The system will prohibit requests for LOCs in excess of 1 million dollars.	Ti Baker	4/1/2002	Changed	We will not receive LOCs electronically.	Changed wording to include Request for LOC.
55	Functional	New	On-line application help feature needs to be included.	Ti Baker	4/1/2002	Changed		Added requirement 1.1.1
56	Functional	New	Field definition "drop-box".	Ti Baker	4/1/2002	Changed	When user clicks in field a definition or example of what is needed should be provided.	Existing requirement - see 2.1.3
57	Functional	2.2.1.3	Need to check Audit Guide to see if Audit information Sheet allows for collection of institution's e-mail address	Sherry Quade	4/3/2002	Under Review	Further discussion needed.	No changes made until further direction is received.
58	Functional	3.1.4 & 3.1.5	School/auditor needs to get message back stating that audit/financial has already been submitted and to contact Case Team. This would tie this requirement with 3.1.6	Sherry Quade	4/3/2002	Changed		Added requirements 3.1.4.1 and 3.1.5.1

**Deliverable 86.1.2 Feedback / Change Log Tracking**

Ref #	Type	Req #	Description of Suggested Changes/Comments	Author	Date Submitted	Status	Comments/Explanation	Justification for Actions Taken
59	Functional	6.1.1 & 6.1.2	When you print the audit/financial should include the date/time (6.1.3) on the printed version of the document.	Sherry Quade	4/3/2002	Changed		Changed existing requirement to include data/time stamp
60	Functional	6.2.1.9 & 6.2.1.10	Need to have edit checks on liability amount between ACD & DDIF.	Sherry Quade	4/3/2002	Changed		Existing requirement - see 6.2.1.24
61	Functional	8.1.25	The report will need to indicate the audits that are in "administrative stay" status.	Sherry Quade	4/3/2002	Changed		Added requirement 8.1.50 (see ref #18)
62	Technical	8.4.1	Need requirement to specifically state FSA standard for backup.	Sherry Quade	4/3/2002	Pending feedback	FSA needs to provide standards for their backup procedures.	No changes made until further direction is received.
63	Functional	New	Where FSA standards and guidelines are indicated, the specifics need to be referenced in an attachment.	Core Team	4/3/2002	Pending feedback	FSA must provide the specifics on FSA standards and guidelines.	No changes made until further direction is received.
64	Technical	New	Need requirement to specify storage capacity of database (I.e. letters, archives, versions, etc.)	IV&V	4/3/2002	Not Changed		This will be decided during Detailed Design once we identify/understand the DB capacity requirements.
65	Functional	General	Where will system-generated letters reside - either in the system's database or on a shared drive with the path noted in the record.	IV&V	4/3/2002	Not Changed	Further discussion needed.	
66	Technical	New	Data conversion plan needed.	IV&V	4/3/2002	Pending feedback	We will need the previous year information.	Created action item in eProject to address data conversion/migration needs.
69	Functional	New	Requirement needed for record creation and update audit trail. I.e. user ID appended to each record. Do the users require a historical audit trail, (I.e. do they need to see who has updated the record for its entire lifetime, do they need to see a before and after image of the record throughout its lifetime?	IV&V	4/3/2002	Changed	I believe this was discussed in the requirements session but was never recorded.	Added requirement 1.1.2
70	Functional	General	Data format of requirements need to be clarified (ex. 2.2.1.1: (number 4) and 2.2.1.14 (14)	IV&V	4/3/2002	Not Changed	Would like clarification on what the numbers in () indicate	